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JC929 U.S. PTO
11/07/01

Certificate of Mailing By "U.S. Express Mail" Under 37 C.F.R. 1.10(c)	
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I hereby certify that this paper and or fee is being deposited with the United States Postal Service "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Assistant Commissioner For Patents, Washington, DC 20231.	
Name: <u>Janta Lie</u>	<u>[Signature]</u>
Signature Date <u>11/07/01</u>	Signature

J1017 U.S. PTO
10/039526
11/07/01

Docket No.: NOVA-P022

COPY OF PAPERS
ORIGINALLY FILEDAPPLICATION TRANSMITTAL LETTER

Assistant Commissioner of Patents
United States Patent and Trademark Office
Washington, D.C. 20231
ATTN: BOX PATENT APPLICATION

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s): **Lo, Y.**Entitled: **"BROADLY TUNABLE DISTRIBUTED BRAGG REFLECTOR STRUCTURE PROCESSING"**

36 No. pages of specification, including title page, claims and abstract
23 No. sheets of X informal, formal drawings (Figs. 1-23)

Also enclosed are:

- X Executed Combined Declaration and Power of Attorney for Patent Application
- X An Original Executed Assignment of the Application
- X Form PTO-1595 (Recordation Cover Sheet for Assignment)
- X Request and Certification Form PTO/SB/35 (11-00)
- X Application Data Sheet (3 Sheets)
- An Information Disclosure Statement (Form PTO/SB/08A and Form PTO/SB/08B)
- A copy of References cited in Information Disclosure: documents

FEES DUEX Applicant Claims Small Entity Status (37 CFR 1.27)

The fees due for filing the application pursuant to 37 C.F.R. 1.16 and for recording the Assignment, if any, are determined as follow:

CLAIMS					
	No. of Claims		Extra Claims	Rate	Fees
Basic Application Fee (\$740 large entity; \$370 small entity)					\$ 370.00
Total Claims	37	Minus 20 =	17	X \$18 = X \$ 9 (small) =	153.00
Total Independent Claims	1	Minus 3 =		X \$84 = X \$42 (small) =	.00
If Multiple Dependent Claims are presented, add \$260.00 or \$130.00 (small)					
If Assignment enclosed, add Assignment Recording Fee \$40.00					40.00
TOTAL APPLICATION FEE DUE					\$ 563.00

PAYMENT OF FEES

The full fee due in connection with this communication is
and is provided as follows:

\$ 563.00

 The Commissioner is hereby authorized to charge the fees associated with this communication or credit any overpayment to **Deposit Account No: 500482**. A duplicate copy of this authorization is enclosed.

 X A Check No. 4536 for the above-specified full fee is enclosed. However, in case Applicant inadvertently miscalculated any required fee, the Commissioner is hereby authorized to charge the necessary additional amount associated with this communication or credit any overpayment to **Deposit Account No: 500482**. A duplicate copy of this authorization is enclosed.

NO 18 MONTHS PUBLICATION

REQUEST AND CERTIFICATION UNDER 35. U.S.C. 122(b) (2) (B) (i)

 X I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen month after filing. **I hereby request that the attached application not to be publish under 35 U.S.C. 122(b).**

This application is filed pursuant to 37 C.F.R. 1.53 in the name of the above-identified Inventor(s).

Please direct all correspondence concerning the above-identified application to the following address:

FERNANDEZ & ASSOCIATES, LLP
PATENT ATTORNEYS
PO BOX D
MENLO PARK, CA 94026-6204
(650) 325-4999
(650) 325-1203: FAX
EMAIL: *iploft@iploft.com*



Respectfully submitted,

A handwritten signature in black ink, appearing to read "Dennis S. Fernandez".

DENNIS S. FERNANDEZ, ESQ
Reg. No. 34,160

11/07/01

Date

The Commissioner for Patents
United States Patent and Trademark Office
Washington, D.C. 20231
ATTN: Box Patent Application

Re: U.S. Utility Patent Application
Appl. No. (Not yet assigned): Filed 11/07/01
For: **Broadly Tunable Distributed Bragg Reflector Structure Processing**
Inventor(s): **Lo, Y.**
Docket No.: **NOVA-P022**

Sir:

The following documents are forwarded herewith for action by the U.S. Patent and Trademark Office:

1. U.S. UTILITY APPLICATION
entitled: **Broadly Tunable Distributed Bragg Reflector Structure Processing**
having named inventor(s):
Lo, Y.
 - a. a specification consisting:
 - (i) 28 pages prior to the claims, including title page;
 - (ii) 1 pages of claims;
 - (iii) 1 page abstract;
 - b. 23 sheets of **informal** drawings: (FIGs. 1-23);
2. An **original, executed** Combined Declaration and Power of Attorney by named inventors;
3. Form PTO-1082 (in duplicate);
4. Cover letter for Assignment (Form PTO-1595)
5. An original, executed Assignment to **NOVA CRYSTALS, INC.**, executed by named inventors, recordation of which is hereby requested;
6. Request and Certification Form PTO/SB/35 (11-00);
7. Check No. 4536 For \$ 563.00 to cover:

Patent application filing fee:	\$ 370.00
Assignment Recordation fee:	\$ 40.00
Excess claims fee:	\$ 153.00
8. Application Data Sheet (3 sheets); and
9. A return post card

It is respectfully requested that the attached postcard be stamped with the filing date of the above documents and unofficial application number and returned to the addressee as soon as possible.

Respectfully submitted,

11/07/01
Date


DENNIS S. FERNANDEZ, ESQ.
Reg. No. 34,160

FERNANDEZ & ASSOCIATES, LLP
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**REQUEST AND CERTIFICATION
UNDER
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor	Lo, Y.
Title	Broadly Tunable Distributed Bragg Reflector Structure Processing
Atty Docket Number	NOVA-P022

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

11/07/01

Date

Signature

DENNIS S. FERNANDEZ, ESQ., Reg. No. 34,160

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**